Mountain Plains States Consortium
WIC System Project

DDI DELIVERABLE #07

VM 3 VENDOR MANAGEMENT VENDOR OVERSIGHT SCREENS DFDD

(DETAILED FUNCTIONAL DESIGN DOCUMENT)

Presented to:

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Document Revisions

Revision Date	Updated By	Requested By	Description of Revision
8/23/07	CIBER	MPSC	Revision Version
11/30/07	CIBER	MPSC	Final Version
12/21/07	CIBER	MPSC	Updated Final Version

Table of Contents

1 Vendor Oversight

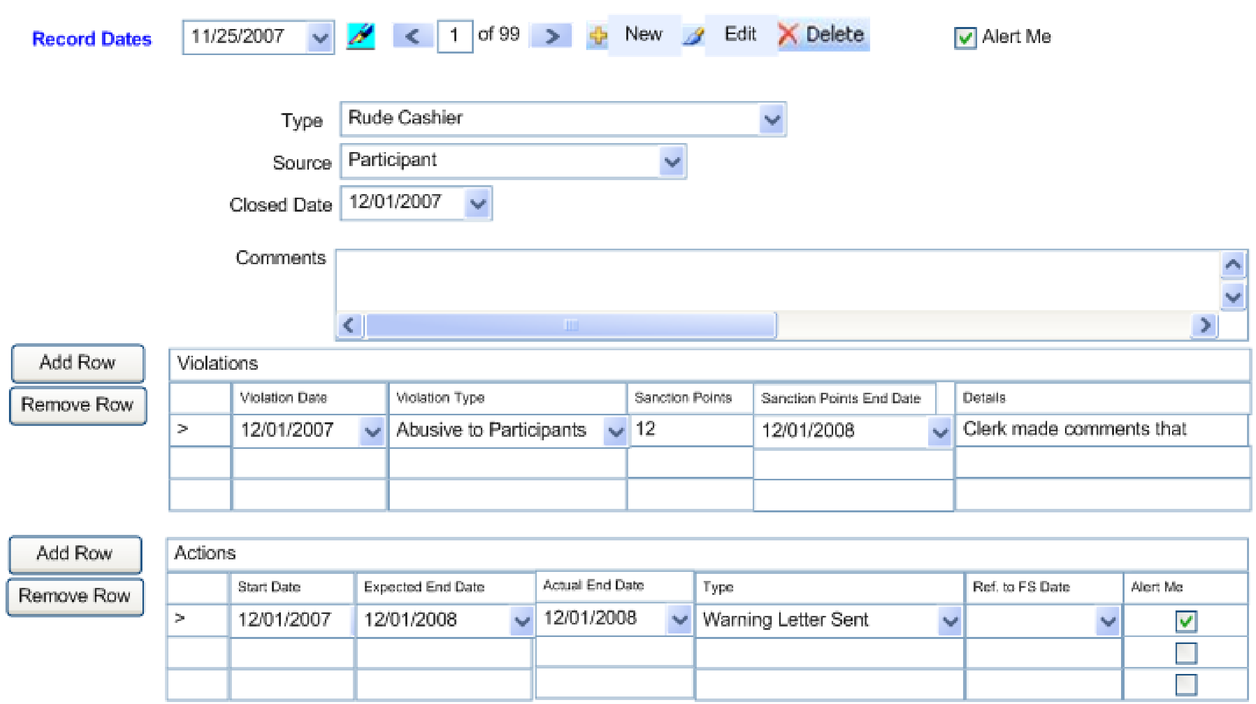
The Vendor Oversight branch node in the Vendor Management navigation tree allows the user to oversee vendor performance and activities, such as feedback, monitoring, educational buys, investigations, risks, and collections.

1.1 Feedback

The Feedback screen is used to record feedback received about a WIC vendor as well as what action is taken regarding the feedback. The source of the feedback can be a participant, local agency staff member, government employee, or other outside entities that has communications with the state WIC program office. The feedback data contains the record date, the type, the source, the closed date and comments to document the specific details about the feedback. The actions data grid details the action date and action type. The violations data grid details any violation, sanction points and violation details of any violations assessed from feedback. An alert is issued when a vendor has reached the maximum threshold for sanction points.

> Vendor Oversight > Feedback

<Vendor Header (See VM overview)>



<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="4">Record Dates</td><td colspan="4">The Feedback record selector navigates the user between feedback records by selecting a record date from the list. The remaining fields on the screen then display corresponding feedback data.</td></tr>
<tr><td>Type</td><td colspan="3">Record Selector (using Editable Date Picker)</td></tr>
<tr><td>Contents</td><td colspan="3">Date of recording of Feedback</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorFeedback.RecordedDt</td></tr>
<tr><td rowspan="3">New</td><td colspan="4">Clicking the New command button creates a new feedback record.</td></tr>
<tr><td>Type</td><td colspan="3">Command Button</td></tr>
<tr><td>Hot Key</td><td colspan="3">Alt + N</td></tr>
<tr><td rowspan="3">Edit</td><td colspan="4">Clicking the Edit command button puts the currently displayed feedback record into Edit mode.</td></tr>
<tr><td>Type</td><td colspan="3">Command Button</td></tr>
<tr><td>Hot Key</td><td colspan="3">Alt + T</td></tr>
<tr><td rowspan="3">Delete</td><td colspan="4">Clicking the Delete command button marks the record as deleted in the database upon user confirmation.</td></tr>
<tr><td>Type</td><td colspan="3">Command Button</td></tr>
<tr><td>Hot Key</td><td colspan="3">Alt + D</td></tr>
<tr><td rowspan="4">Alert Me</td><td colspan="4">When a new feedback record is created the Alert Me is checked. When checked, the feedback event is displayed in the Information Panel under the Date Alerts Tab until the feedback is closed by a closing date, deleted or the Alert Me checkbox is unchecked.</td></tr>
<tr><td>Type</td><td colspan="3">Check Box</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorFeedback.TicklerIn</td></tr>
<tr><td rowspan="5">Type</td><td colspan="4">A list box containing the type of feedback reported (rude cashier, inventory issue).</td></tr>
<tr><td>Type</td><td colspan="3">List Box</td></tr>
<tr><td>Required</td><td colspan="3">Yes</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorFeedback.ComplaintTypeCd</td></tr>
<tr><td>Code ID</td><td colspan="3">Vnd Cmplnt Type</td></tr>
</table>

Control	Description			
Source	List box containing sources of the feedback (participant, WIC staff).			
	Type	List Box		
	Required	No		
	DB Column	VendorFeedback.ComplaintSourceCd		
	Code ID	Vnd Cmplnt Src		
Closed Date	Date the feedback was closed.			
	Type	Date Picker		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	VendorFeedback.ClosedDt		
Comments	Comments text box that shows detailed comments.			
	Type	Multi Line Text Box		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	VendorFeedback.Comment		
Violations - Add Row	Clicking the Add Row command button creates a new row in the data grid allowing the user to complete the information about the violations found.			
	Type	Command Button		
	Hot Key	None		
Violations - Remove Row	Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.			
	Type	Command Button		
	Hot Key	None		
Violations	The violations data grid is used to maintain any violations added based on the feedback.			
	Type	Data Grid		
Violation Date	This date is the date that the violation was assessed to the vendor based on feedback.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	VendorFeedbackViolation.ViolationDt		

Control	Description			
Violation Type	The Violation Type describes the behavior that is considered a violation.			
	Type	List Box		
	Required	Yes		
	DB Column	VendorFeedbackViolation.VVIo_ID		
	Code ID	VendorViolation table lookup		
Sanction Points	Represents the number of sanction points assigned to the violation type. Sanction points are auto-assigned based on the Violation Type selected.			
	Type	Text Box		
	Required	NA		
	Length	3		
	Validation	NA		
	Display Only	Yes	**Calculated**	No
	DB Column	VendorFeedbackViolation.SanctionPts		
Sanction Points End Date	This date represents the date that the sanction points are removed from the vendor violation summary.			
	Type	Date Picker		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	VendorFeedbackViolation.PtsEndDt		
Details	The details are additional brief comments about the violation itself.			
	Type	Text Box		
	Required	No		
	Length	80		
	Validation	NA		
	Display Only	No	**Calculated**	No
	DB Column	VendorFeedbackViolation.Details		
Actions - Add Row	Clicking the Add Row command button creates a new row in the data grid allowing the user to complete the information about the feedback actions taken.			
	Type	Command Button		
	Hot Key	None		

Control	Description			
Actions - Remove Row	Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.			
	Type	Command Button		
	Hot Key	None		
Actions	The actions data grid is used to record any actions taken based on the feedback.			
	Type	Data Grid		
Start Date	Date the action was taken.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	VendorFeedbackAction.StartDt		
Expected End Date	Date the action should be completed. Cannot be before Start Date.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	VendorFeedbackAction.ExpectedEndDt		
Actual End Date	Date the action was completed. Cannot be before Start Date.			
	Type	Date Picker		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	VendorFeedbackAction.ActualEndDt		
Type	List box containing actions taken in response to vendor feedback.			
	Type	List Box		
	Required	Yes		
	DB Column	VendorFeedbackAction.ActionCd		
	Code ID	Vendor Action Code This code element is editable but these installed values are non-editable: Sanction		

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="5">Ref. To FS Date</td><td colspan="4">This date represents when the vendor has been referred to Food Stamps.</td></tr>
<tr><td>Type</td><td colspan="3">Date Picker</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorFeedbackAction.RefFSDt</td></tr>
<tr><td rowspan="4">Alert Me</td><td colspan="4">The Alert Me in the Actions Grid is used to remind the user that they are to send the notification to the Food Stamp Program.</td></tr>
<tr><td>Type</td><td colspan="3">Check Box</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorFeedbackAction.TicklerIn</td></tr>
</table>

Business Rules
1. If Vnd Cmplnt Act = “SANC” (Type of Action), add a detail line to the Violation Summary for the corresponding Vendor (refer to Vendor Details DFDD for the Violation Summary). 2. The total sanction points assigned to a vendor is the combination of sanction points assessed during Feedback and Monitoring activities as well as Investigations. 3. If the point threshold has been reached, add a detail line to the Violation Summary for the corresponding Vendor. 4. When the point threshold has been reached, an alert is set indicating that a sanction should be imposed against the vendor. 5. Sanction points are auto-assigned based on the Violation Type selected.

Developer Notes
1. When there is a date inserted into the Ref to FS Date set the Alert Me on that action line. This alert must be turned off by the user following their sending notification to the Food Stamp program. 2. Roll violations off of the violation summary when the Pts. End Date is past. 3. When the VendorFeedback.ClosedDt is entered, set the VendorFeedback.TicklerIn to false.

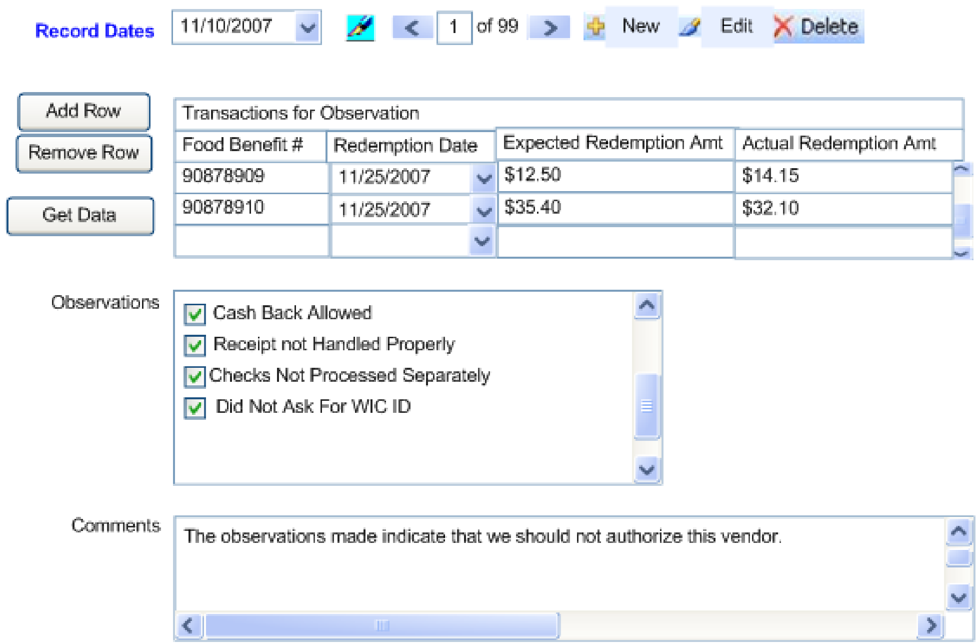
1.2 Educational Buy

The Educational Buy screen is used to record or view information related to a buy that occurred during an Educational Buy visit. The presence of a check in any of the checkboxes of the Educational Buy screen indicates that the statement that follows is considered true. The Transactions for Observation data grid allows the person responsible for the educational buy to add or remove as many transactions as needed for the buy. This includes paper FIs or EBT transactions.

The Observations list is state-dependent. Each state may give a list of observations for this screen. The items listed and their definitions are for illustration purposes only. The observations listed correspond with one or more of the transactions that occurred during the Educational Buy.

> Vendor Oversight > Educational Buy

<Vendor Header (See VM overview)>



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Control	Description	
Record Dates	The Educational Buy record selector navigates the user between buy records by selecting a record date from the list. The remaining fields on the screen then display corresponding educational buy data.	
	Type	Record Selector (using Editable Date Picker)
	Contents	Date of recording of the educational buy
	DB Column	VendorEducationalBuy.RecordedDt
New	Clicking the New command button creates a new Educational Buy record.	
	Type	Command Button
	Hot Key	Alt + N
Edit	Clicking the Edit command button puts the currently displayed Educational Buy record into Edit mode.	
	Type	Command Button
	Hot Key	Alt + T
Delete	Clicking the Delete command button marks the record as deleted in the database upon user confirmation.	
	Type	Command Button
	Hot Key	Alt + D
Add Row	Clicking the Add Row button creates a new row in the Transactions for Observation data grid allowing the user to complete the information found during the buy activities.	
	Type	Command Button
	Hot Key	Alt + A
Remove Row	Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.	
	Type	Command Button
	Hot Key	Alt + R
Get Data	Clicking the Get Data command button retrieves information regarding the observed transactions during the Educational Buy. It is only available if at least one Food Benefit # is in the Transactions for Observation data grid.	
	Type	Command Button
	Hot Key	None

Control	Description			
Transactions for Observation	The Transactions for Observation data grid is used to record transactions to be observed during the buy activity.			
	Type	Data Grid		
Food Benefit #	The food instrument number or the purchase transaction number (EBT) used during the educational buy.			
	Type	Text Box		
	Required	No		
	Length	10		
	Validation	Numeric		
	Display Only	No	**Calculated**	No
	DB Column	EducationalBuyTransaction.TransactionNr		
Redemption Date	This is the date when the educational buy was conducted and the FI or EBT card was used.			
	Type	Date Picker		
	Required	Yes, if EBT State and Get Data is selected.		
	Display Only	No	**Calculated**	NO
	DB Column	EducationalBuyTransaction.RedemptionDt		
Expected Redemption Amt	The expected redemption (dollar amount) of the educational buy transaction.			
	Type	Text Box		
	Required	No		
	Length	Decimal 9,2		
	Validation	Numeric, Mask of $9,999.99		
	Display Only	No	**Calculated**	No
	DB Column	EducationalBuyTransaction.TransactionAmt		
Actual Redemption Amt	The actual redemption (dollar amount) of the educational buy transaction.			
	Type	Text Box		
	Required	No		
	Length	NA		
	Validation	NA		
	Display Only	Yes	**Calculated**	No
	DB Column	EducationalBuyTransaction.ActualRedemptionAmt		

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td>Observations Checkboxes</td><td colspan="4">Checkboxes used to indicate that, through the educational buy, the statement is true.</td></tr>
<tr><td rowspan="3">Cash Back Allowed</td><td colspan="4">A checkbox used to indicate that, through the educational buy, cash back was allowed.</td></tr>
<tr><td>Type</td><td colspan="3">Checkbox</td></tr>
<tr><td>DB Column</td><td colspan="3">EducationalBuyChecklist.ChecklistCd</td></tr>
<tr><td rowspan="3">Receipt not Handled Properly</td><td colspan="4">A checkbox used to indicate that, through the educational buy, the vendor did not handle the receipt properly during the WIC buy.</td></tr>
<tr><td>Type</td><td colspan="3">Checkbox</td></tr>
<tr><td>DB Column</td><td colspan="3">EducationalBuyChecklist.ChecklistCd</td></tr>
<tr><td rowspan="3">Checks Not Processed Separately</td><td colspan="4">A checkbox used to indicate that, through the educational buy, the vendor did not process checks separately during the WIC buy.</td></tr>
<tr><td>Type</td><td colspan="3">Checkbox</td></tr>
<tr><td>DB Column</td><td colspan="3">EducationalBuyChecklist.ChecklistCd</td></tr>
<tr><td rowspan="3">Did Not Ask For WIC ID</td><td colspan="4">A checkbox used to indicate that, through the educational buy, the vendor did not ask for a WIC ID card during the WIC buy.</td></tr>
<tr><td>Type</td><td colspan="3">Checkbox</td></tr>
<tr><td>DB Column</td><td colspan="3">EducationalBuyChecklist.ChecklistCd</td></tr>
<tr><td rowspan="5">Comments</td><td colspan="4">Comments text box that shows detailed comments.</td></tr>
<tr><td>Type</td><td colspan="3">Multi Line Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorEducationalBuy.Comments</td></tr>
</table>

Business Rules
1. The items in the checklist default to a value of unchecked. 2. The values for the checklist are assigned on the System Administration - List Management screen. The checklist should be created using negative definitions. Once values and definitions are assigned, it is recommended that the definitions not be modified. For example, if the checklist item "Receipt not Handled Properly" (negative) is modified in System Administration to be "Receipt Handled Properly" (positive), the history of the record would be altered. If the record was retrieved after the modification in System Administration from a negative statement to a positive statement, the checklist would indicate that the receipt was handled properly, when in fact the receipt was not handled properly when the educational buy occurred. 3. If the transaction involves an FI that has not been redeemed and the Get Data command button is selected, populate Actual Redemption Amt with 0.

Business Rules
4. The Get Data command button is only available if at least one Food Benefit # is in the "Transactions for Observation" data grid.
5. If the Food Benefit # entered is not found, display error.

Developer Notes
1. The items in the checklist are populated based on the code table values.
2. EBT-States - data regarding the educational buy transaction is pulled from transaction tables. The redemption amount is retrieved using both the Food Benefit # (which is the card number) as well as the redemption date. The redemption amount is the total of all transactions that contain the entered card number and redemption date.
3. Non-EBT states - data regarding the educational buy transaction is pulled from the FI tables. The redemption amount is retrieved using the Food Benefit # (which is the FI number). The redemption date for non-EBT states is for information only.

1.3 Routine Monitoring

The Routine Monitoring screen is used to record, edit, delete, or view monitoring activities for a vendor. Monitoring means overt, on-site monitoring during which program representatives identify themselves to vendor personnel. The purpose is to find areas where the vendor may need additional training or to note if there are violations that require additional investigation.

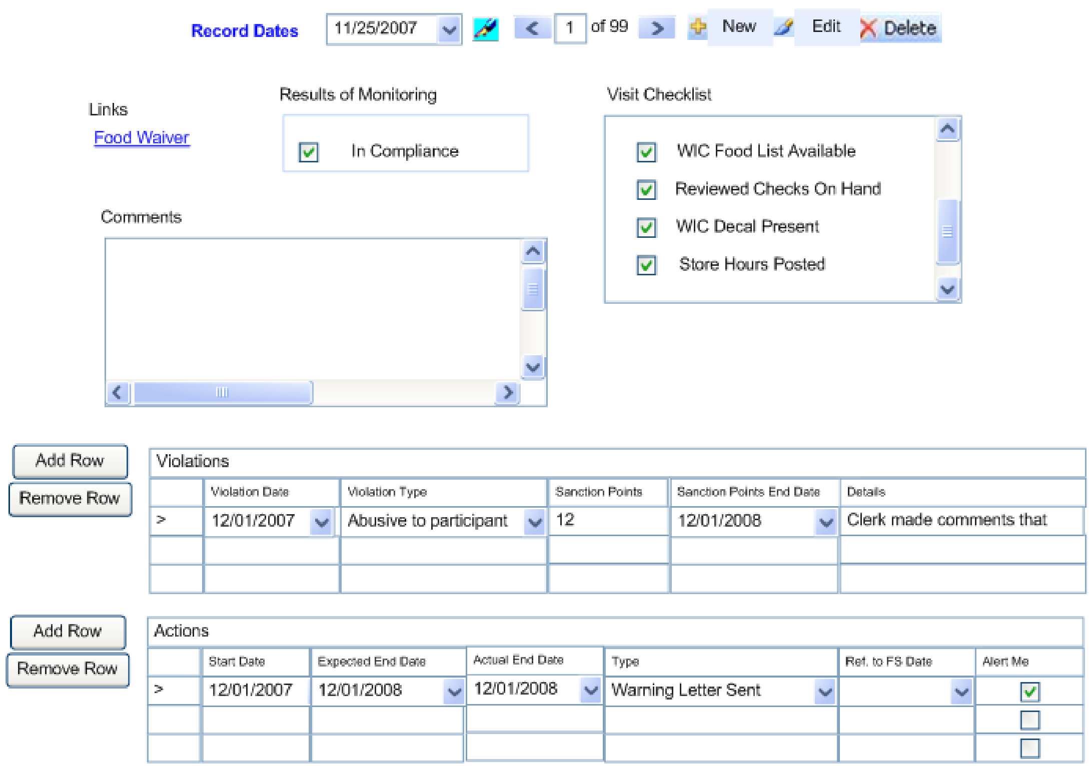
The Visit Checklist is used to record or view monitoring information related to the store. The presence of a check in any of the checkboxes of the Visit Checklist screen indicates that the statement that follows is considered true. The Visit Checklist is state-dependent. Each state may give a list of items for this screen. The items listed and their definitions are for illustration purposes only.

The Comments area is used to record any observations or comments related to the monitoring visit.

The Violations data grid is used to record any state-assigned violations found during a monitoring visit as well as what action is taken regarding the feedback. By adding rows to the violations data grid, any accompanying sanction points and details about the violation are maintained. The actions data grid details the action date and action type. An alert is issued when a vendor has reached the maximum threshold for sanction points.

> Vendor Oversight > Routine Monitoring

<Vendor Header (See VM overview)>



Control	Description			
Record Dates	The record date selector navigates the user between monitoring records by selecting a record date from the list. The remaining fields on the screen then display corresponding monitoring data.			
	Type	Record Selector (using Editable Date Picker)		
	Content	Dates		
	DB Column	VendorRoutineMonitoring.RecordedDt		
New	Clicking the New command button creates a new Routine Monitoring record.			
	Type	Command Button		
	Hot Key	Alt + N		
Edit	Clicking the Edit command button puts the currently displayed Routine Monitoring record into Edit mode.			
	Type	Command Button		
	Hot Key	Alt + T		
Delete	Clicking the Delete command button marks the record as deleted in the database upon user confirmation.			
	Type	Command Button		
	Hot Key	Alt + D		
Food Waiver	Hyperlink to the Food Waiver Pop-up Window. See the Food Waiver Pop-Up Window section for more information.			
	Type	Link		
Results of Monitoring - In Compliance	Checkbox that indicates that the vendor was found to be in compliance during the monitoring visit.			
	Type	Check Box		
	Display Only	No	**Calculated**	No
	DB Column	VendorRoutineMonitoring.ComplianceIn		
Visit Checklist	Checkboxes used to indicate that, through the routine monitoring process, the statement is true.			
WIC Food List Available	A checkbox used to indicate that, through the monitoring activity, the vendor was found to have a WIC food list available.			
	Type	Checkbox		
	DB Column	RoutineMonitoringChecklist.ChecklistCd		
Reviewed Checks on Hand	A checkbox used to indicate that, through the monitoring activity, the vendor’s checks on hand were reviewed and found acceptable.			
	Type	Checkbox		
	DB Column	RoutineMonitoringChecklist.ChecklistCd		

Control	Description			
WIC Decal Present	A checkbox used to indicate that, through the monitoring activity, the vendor has a clearly displayed WIC decal present.			
	Type	Checkbox		
	DB Column	RoutineMonitoringChecklist.ChecklistCd		
Store Hours Posted	A checkbox used to indicate that, through the monitoring activity, the vendor has clearly displayed its store hours.			
	Type	Checkbox		
	DB Column	RoutineMonitoringChecklist.ChecklistCd		
Comments	A free form text field used to record detailed information about a monitoring record.			
	Type	Multi Line Text Box		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	VendorRoutineMonitoring.Comment		
Violations - Add Row	Clicking the Add Row button creates a new row in the violations data grid allowing the user to complete the information found during the monitoring activities.			
	Type	Command Button		
	Hot Key	None		
Violations - Remove Row	Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.			
	Type	Command Button		
	Hot Key	None		
Violations	The violations data grid is used to record any violations found during the monitoring.			
	Type	Data Grid		
Violation Date	This date is the date that the violation was assessed to the vendor based on the monitoring visit.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	NO
	DB Column	RoutineMonitoringViolation.ViolationDt		

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="5">Violation Type</td><td colspan="4">The Violation Type describes the behavior that is considered a violation.</td></tr>
<tr><td>Type</td><td colspan="3">List Box</td></tr>
<tr><td>Required</td><td colspan="3">Yes</td></tr>
<tr><td>DB Column</td><td colspan="3">RoutineMonitoringViolation.VVio_ID</td></tr>
<tr><td>Code ID</td><td colspan="3">VendorViolation table lookup</td></tr>
<tr><td rowspan="7">Sanction Points</td><td colspan="4">Represent the number of sanction points assigned to the violation type. Sanction points are auto-assigned based on the Violation Type selected.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">NA</td></tr>
<tr><td>Length</td><td colspan="3">3</td></tr>
<tr><td>Validation</td><td colspan="3">NA</td></tr>
<tr><td>Display Only</td><td>Yes</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">RoutineMonitoringViolation.SanctionPts</td></tr>
<tr><td rowspan="5">Sanction Points End Date</td><td colspan="4">This date represents the date that the sanction points are removed from the vendor violation summary.</td></tr>
<tr><td>Type</td><td colspan="3">Date Picker</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">RoutineMonitoringViolation.PtsEndDt</td></tr>
<tr><td rowspan="7">Details</td><td colspan="4">The details are additional brief comments about the violation itself.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Length</td><td colspan="3">80</td></tr>
<tr><td>Validation</td><td colspan="3">NA</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">RoutineMonitoringViolation.Details</td></tr>
<tr><td rowspan="3">Actions - Add Row</td><td colspan="4">Clicking the Add Row command button creates a new row in the data grid allowing the user to complete the information about the violation actions taken.</td></tr>
<tr><td>Type</td><td colspan="3">Command Button</td></tr>
<tr><td>Hot Key</td><td colspan="3">None</td></tr>
</table>

Control	Description			
Actions - Remove Row	Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.			
	Type	Command Button		
	Hot Key	None		
Actions	The actions data grid is used to record any actions taken based on the violation.			
	Type	Data Grid		
Start Date	Date the action was taken.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	RoutineMonitoringAction.StartDt		
Expected End Date	Date the action should be completed by.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	RoutineMonitoringAction.ExpectedEndDt		
Actual End Date	Date the action was completed by.			
	Type	Date Picker		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	RoutineMonitoringAction.ActualEndDt		
Type	List box containing actions taken in response to the violation.			
	Type	List Box		
	Required	Yes		
	DB Column	RoutineMonitoringAction.ActionCd		
	Code ID	Vendor Action Code This code element is editable but these installed values are non-editable: Sanction		

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="5">Ref. To FS Date</td><td colspan="4">This date represents when the vendor has been referred to Food Stamps.</td></tr>
<tr><td>Type</td><td colspan="3">Date Picker</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">RoutineMonitoringAction.RefFSDt</td></tr>
<tr><td rowspan="4">Alert Me</td><td colspan="4">The Alert Me in the Actions Grid is used to remind the user that they are to send the notification to the Food Stamp Program.</td></tr>
<tr><td>Type</td><td colspan="3">Check Box</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">RoutineMonitoringAction.TicklerIn</td></tr>
</table>

Business Rules

1. The items in the checklist default to a value of unchecked.
2. The values for the checklist are assigned on the System Administration - List Management screen. The checklist should be created using positive definitions. Once values and definitions are assigned, it is recommended that the definitions not be modified. For example, if the checklist item "Store Hours Posted" (positive) is modified in System Administration to be "Store Hours Not Posted" (negative), the history of the record would be altered. If the record was retrieved after the modification in System Administration from a positive statement to a negative statement, the checklist would indicate that the store hours were not posted, when in fact they were posted when the monitoring visit occurred.
3. Add a detail line to the Violation Summary for the corresponding Vendor when a violation is found and a record is added.
4. The total sanction points assigned to a vendor is the combination of sanction points assessed during Feedback and Monitoring activities.
5. If the point threshold has been reached, then add a detail line to the Violation Summary for the corresponding Vendor.
6. When the point threshold has been reached, an alert is set indicating that a sanction should be imposed against the vendor.
7. Sanction points are auto-assigned based on the Violation Type selected.

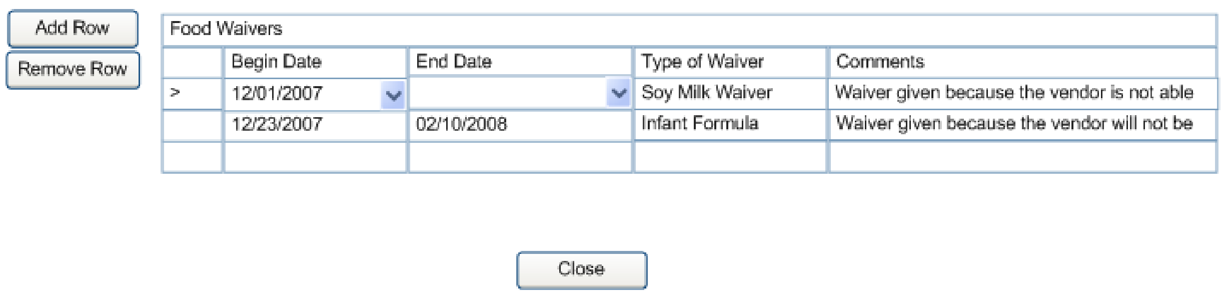
Developer Notes

1. The items in the checklist are populated based on the code table values.
2. When there is a date inserted into the Ref to FS Date set the Alert Me on that action line. This alert must be turned off by the user following their sending notification to the Food Stamp program.

System Parameter	Purpose	Format
Vendor.ViolationPointThreshold	Determines the point threshold allowed for a vendor before a sanction should be imposed.	Integer

1.3.1 Food Waiver Pop-Up Window

A food waiver is used when there is a request by a vendor to allow them to be exempt from a minimum food stocking requirement. A system parameter determines whether or not the pop-up window is available.



Control	Description			
Add Row	Clicking the Add Row button creates a new row in the Food Waivers data grid allowing the user to complete the information about the food waiver.			
	Type	Command Button		
	Hot Key	Alt + A		
Remove Row	Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.			
	Type	Command Button		
	Hot Key	Alt + R		
Food Waivers	Data grid that displays all food waivers associated with the selected Vendor.			
	Type	Data Grid		
	Display Only	No	**Calculated**	No
Begin Date	This date is the date the food waiver begins.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	FoodWaiver.BeginDt		
End Date	This date is the date the food waiver ends. Cannot be before Begin Date.			
	Type	Date Picker		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	FoodWaiver.EndDt		
Type of Waiver	The type of Waiver textbox is used to indicate the type of Waiver that was given to the selected vendor.			
	Type	Text Box		
	Required	Yes		
	Length	60		
	Validation	NA		
	Display Only	No	**Calculated**	No
	DB Column	FoodWaiver.WaiverType		

Control	Description			
Comments	The comments textbox is used to record the reason why a food waiver has been given to the selected vendor.			
	Type	Text Box		
	Required	Yes		
	Length	100		
	Validation	NA		
	Display Only	No	**Calculated**	No
	DB Column	FoodWaiver.Comment		
Close	Clicking the Close button causes the pop-up window to close and the user is returned to the calling screen.			
	Type	Command Button		
	Hot Key	Alt + C		
<Last Modified By User and Date>	In the lower right-hand corner, the user and the date of the last update of the food waiver record are displayed.			
	Type	Text Box		
	Required	No		
	Length	NA		
	Validation	Mask of 'firstname lastname mm/dd/yyyy'		
	Display Only	Yes	**Calculated**	No
	DB Column	FoodWaiver.ModifyStfpID + FoodWaiver.ModifyDt		

Business Rules
1. End Date cannot come before Begin Date. 2. If an End Date is given, there must be a Begin Date. 3. The active (no End Date) waivers are displayed first, sorted in order by Begin Date descending. The remaining records are sorted by End Date Descending.

Developer Notes
1. This link is also available from the Application area of Vendor Management.

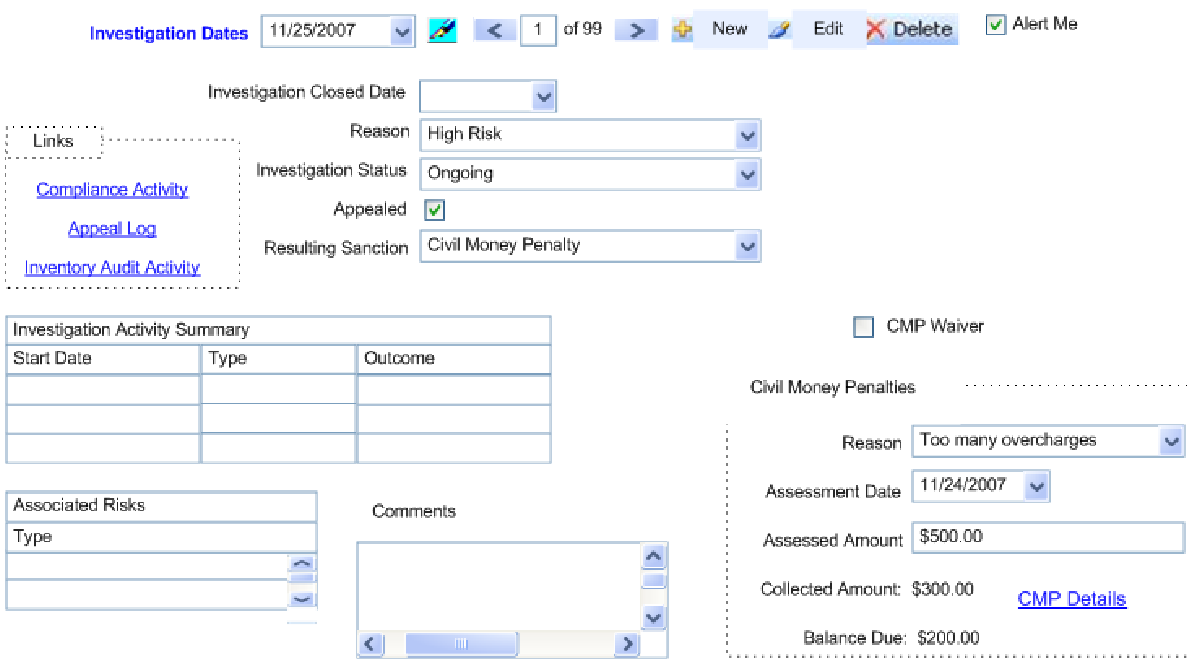
1.4 Investigations

The Investigations screen is used to document compliance buy and inventory audit information for a vendor. A compliance buy means a covert, on-site investigation. A representative of the WIC Program poses as a participant, parent or caretaker of an infant or child participant, or proxy. The investigator transacts one or more food instruments, and does not reveal during the visit that he or she is a program representative. An inventory audit means the examination of food invoices or other proofs of purchase to determine whether a vendor has purchased sufficient quantities of supplemental foods to provide participants the quantities specified on food instruments redeemed by the vendor during a given period of time.

Once an investigation is initiated and moved into an ongoing status, activities are entered. Activities may result in violations and their accompanying actions. A resulting sanction may come at the conclusion of the investigation. A vendor may appeal the sanction. During an appeal, a vendor goes through due process to have a sanction reversed.

> Vendor Oversight > Investigations

<Vendor Header (See VM overview)>



Control	Description			
Investigation Dates	This is the record selector for the Investigation records. It contains the recorded date. The drop-down and spin control allow selection of historical Investigation records. When the New button is clicked, this date defaults to current date. It can be updated by the user.			
	Type	Record Selector (using Date Picker) Editable		
	Contents	Mask of mm/dd/yyyy		
	DB Column	VendorInvestigation.RecordedDt		
New	Clicking the New command button creates a new investigation record.			
	Type	Command Button		
	Hot Key	Alt + N		
Edit	Clicking the Edit command button puts the currently displayed investigation record into Edit mode.			
	Type	Command Button		
	Hot Key	Alt + T		
Delete	Clicking the Delete command button marks the record as deleted in the database upon user confirmation.			
	Type	Command Button		
	Hot Key	Alt + D		
Alert Me	When a new Investigation record is created, the Alert Me is checked. When checked, it is noted in the Information Panel under the Date Alerts Tab until the investigation is closed, deleted or the Alert Me checkbox is unchecked.			
	Type	Check Box		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestigation.TicklerIn		
Compliance Activity	Hyperlink to Compliance Activity Pop-up Window. See the Compliance Activity – Buy and Transaction Level Detail Pop-Up Window section for more information.			
	Type	Link		
Appeal Log	Hyperlink to Appeal Log Pop-up Window. See the Appeal Log Pop-Up Window section for more information.			
	Type	Link		
Inventory Audit Activity	Hyperlink to Inventory Audit Activity pop-up window. See the Inventory Audit Activity Pop-Up Window section for more information.			
	Type	Link		

Control	Description			
Investigation Closed Date	The date an investigation was closed.			
	Type	Date Picker		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestigation.ClosedDt		
Reason	A list box containing all available investigation reasons (i.e. Random 5%, High Risk).			
	Type	List Box		
	Required	Yes		
	DB Column	VendorInvestigation.ReasonCd		
	Code ID	Investigation Reason This code element is editable but these installed values are non-editable: Random 5% High Risk		
Investigation Status	A list box containing all available investigation statuses (i.e. initiated, ongoing, complete).			
	Type	List Box		
	Required	Yes		
	DB Column	VendorInvestigation.InvestigativeStatusCd		
	Code ID	Investigation Status This code element is non-editable. The installed values are: Initiated Complete Ongoing		
Appealed	A checkbox indicating that a vendor appealed the investigation resulting sanction.			
	Type	Checkbox		
	DB Column	VendorInvestigation.AppealedIn		

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="5">Resulting Sanction</td><td colspan="4">A list box containing all available investigation resulting sanctions (i.e. No Sanction - Warning letter, Fine, Civil Money Penalty). This field is used for TIP reporting.</td></tr>
<tr><td>Type</td><td colspan="3">List Box</td></tr>
<tr><td>Required</td><td colspan="3">Yes, when the Investigation Status is “Complete."</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestigation.ResultingSanctionCd</td></tr>
<tr><td>Code ID</td><td colspan="3">Inv Resulting Sanction
This code element is non-editable.
The installed values are:
Disqualified (D)
Civil Money Penalty (C)
Fine (F)
State Agency Sanction (S)
No Sanction-Warning Letter (W)</td></tr>
<tr><td rowspan="4">CMP Waiver</td><td colspan="4">Check box used to signify that a CMP waiver has been granted. Cannot be selected unless the Resulting Sanction is a Civil Money Penalty.</td></tr>
<tr><td>Type</td><td colspan="3">Check Box</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestigation.CMPWaiverIn</td></tr>
<tr><td rowspan="3">Investigation Activity Summary</td><td colspan="4">Data grid that contains a row for each activity that has been entered that pertains to the current investigation.</td></tr>
<tr><td>Type</td><td colspan="3">Read-Only Data Grid</td></tr>
<tr><td>Display</td><td colspan="3">Yes</td></tr>
<tr><td rowspan="3">Start Date</td><td colspan="4">This is the date that the investigation activity was started.</td></tr>
<tr><td>Format</td><td>MM/DD/YYYY</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestActivity.BuyDt or
VendorInvestActivity.AuditStartDt</td></tr>
<tr><td rowspan="3">Type</td><td colspan="4">A textbox that contains whether this is compliance or an inventory activity.</td></tr>
<tr><td>Format</td><td>Text</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestActivity.ActivityTypeCd</td></tr>
<tr><td></td><td>Code ID</td><td colspan="3">Activity Type Code
This code element is editable.
The installed values are:
Compliance Buy
Audit</td></tr>
</table>

Control	Description			
Outcome	A textbox that contains whether this activity resulted in a pass or a fail.			
	Format	Text	**Calculated**	No
	DB Column	VendorInvestActivity.OutcomeCd		
Associated Risks	Data grid that contains a row for every risk that is associated with this particular investigation.			
	Type	Read-Only Data Grid		
	Display	Yes		
Type	A textbox that contains the type of associated risk.			
	Format	Text	**Calculated**	No
	DB Column	VendorRisk.VRT_ID		
	Code ID	VendorRisk table lookup		
Comments	A multi-line text box that is used to enter any comments pertaining to the current investigation.			
	Type	Multi Line Text Box		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestigation.Comments		
Reason	A list box containing the reason for the Civil Money Penalty being assessed.			
	Type	List Box		
	Required	Yes, if Resulting Sanction is a Civil Money Penalty and CMP Waiver not granted.		
	DB Column	VendorInvestigation.CMPReasonCd		
	Code ID	CMP Reason		
Assessment Date	This is the date that the Civil Money Penalty was assessed.			
	Type	Date Picker		
	Required	Yes, if Resulting Sanction is a Civil Money Penalty and CMP Waiver not granted.		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestigation.CMPAssessmentDt		

Control	Description			
Assessed Amount	The Civil Money Penalty dollar amount assessed to the vendor.			
	Type	Text Box		
	Required	Yes, if Resulting Sanction is a Civil Money Penalty and CMP Waiver not granted.		
	Length	Decimal 9,2		
	Validation	Numeric, Mask of $9,999.99		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestigation.CMPAssessmentAmt		
Collected Amount	The dollar amount of the Civil Money Penalty amount collected. The payments received are recorded on the CMP Details Screen. The total amounts of those payments are totaled and displayed in this field.			
	Type	Text Box		
	Required	NA		
	Length	NA		
	Validation	NA		
	Display Only	Yes	**Calculated**	Yes
	DB Column	NA		
Balance Due	The dollar amount of the Civil Money Penalty still remaining to be paid. This is the difference between the Assessed Amount and the Collected Amount.			
	Type	Text Box		
	Required	NA		
	Length	NA		
	Validation	NA		
	Display Only	Yes	**Calculated**	Yes
	DB Column	NA		
CMP Details	This is a hyperlink to the CMP Details Pop-up Window. See the CMP Details Pop-Up Window section for more information.			
	Type	Link		

Business Rules
1. The Activity Link is disabled until a Reason for the Investigation has been selected and if the Investigation Status = "On-Going" or "Completed."
2. The Appeal Log Link is disabled until a Reason for the Investigation has been selected and the Appealed checkbox has been selected.
3. Closed Date must be greater than or equal to the Investigation Date.

Business Rules
4. A system parameter determines the maximum value allowed to be assessed for a CMP. A message will be displayed indicating that the calculated value was above the maximum allowed value and the maximum allowed value will be assessed. 5. A CMP cannot be assessed unless the user selects CMP as the Resulting Sanction and CMP Waiver has not been selected. 6. The CMP Waiver checkbox cannot be selected unless the user selects Civil Money Penalty as the Resulting Sanction. 7. The Investigation Date must be unique. Display error.

Developer Notes
1. If the user selects CMP as the Resulting Sanction, the assessed amount is equal to the Average Monthly WIC redemptions times a system parameter %, times a system parameter (number of months) that the vendor is disqualified. If the calculated assessed amount is greater than the <maximum value allowed to be assessed for a CMP> assign the maximum value as the assessed amount. 2. CMP - Balance Due is the difference between the Assessed Amount and the Collected Amount. 3. CMP - Collected Amount is the total of all payments received against the CMP.

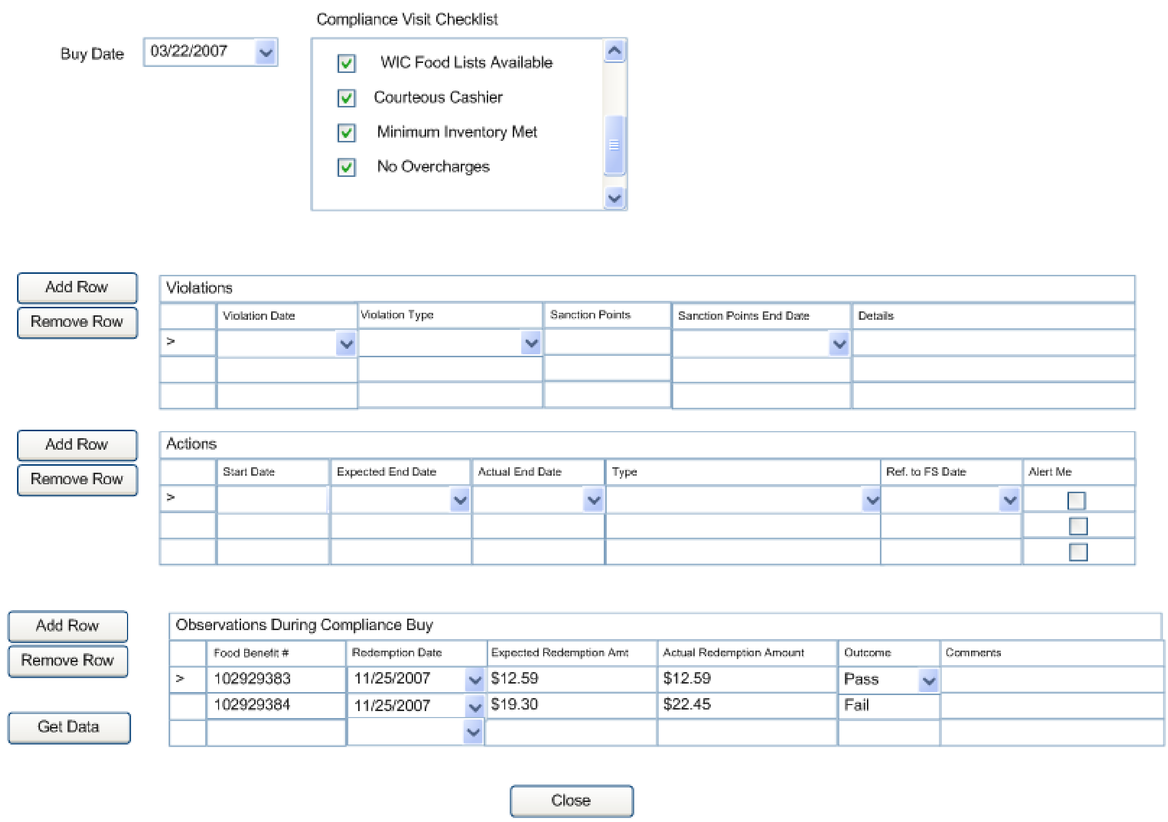
System Parameter	Purpose	Format
Vendor.RedemptionPercentageForCalculatingCMP	Determines the Average Monthly WIC redemptions percentage to be used when calculating the assessed amount.	Decimal
Vendor.MonthsForCalculatingCMP	Determines the number of months to be used when calculating the assessed amount.	Integer
Vendor.MaximumAssessedCMP	Indicates the maximum dollar value allowed to be assessed for a CMP.	Decimal

1.4.1 Compliance Activity – Buy and Transaction Level Detail Pop-Up Window

The Compliance Activity Pop-up Window is used to record activities that occurred during an investigation. An investigation can have multiple activities each with its own outcome. The Activity Pop-up Window contains Buy Level and Transaction Level Details.

The Buy Level Detail area is used to record the date of the buy and any information gleaned from the buy. Attributes of the vendor as well as the inventory can be recorded here as well. The presence of a check in any of the attributes signifies that the value is true. The violations data grid allows any violations found during the compliance buy to be recorded. The actions data grid allows any subsequent actions to be recorded as well. The Buy Level Detail Checklist is state-dependent. Each state may give a list of items for this screen. The items listed and their definitions are for illustration purposes only.

The Transaction Level Detail area reports back data from the database in regard to the transactions (either by check number or card number) that were used for the compliance buy. The individual doing the compliance activity can then determine on a transaction by transaction basis whether the buy passed or failed.



Control	Description			
Buy Date	This date is the date of the compliance buy.			
	Type	Date Picker		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestActivity.BuyDt		
Compliance Visit Checklist	Checkboxes used to indicate that, through the compliance activity, the statement is true.			
WIC Food List Available	A checkbox used to indicate that, through the compliance buy, the vendor was found to have a WIC food lists available.			
	Type	Checkbox		
	DB Column	ComplianceBuyChecklist.ChecklistCd		
Courteous Cashier	A checkbox used to indicate that, through the compliance buy, the cashier that conducted the buy was courteous.			
	Type	Checkbox		
	DB Column	ComplianceBuyChecklist.ChecklistCd		
Minimum Inventory Met	A checkbox used to indicate that, through the compliance buy, the vendor met the WIC minimum inventory requirements.			
	Type	Checkbox		
	DB Column	ComplianceBuyChecklist.ChecklistCd		
No Overcharges	A checkbox used to indicate that, through the compliance buy, the vendor did not overcharge. This checkbox is only used to indicate that an overcharge did not occur. The Collections screen is used to record any actual overcharge(s).			
	Type	Check Box		
	DB Column	ComplianceBuyChecklist.ChecklistCd		
Violations - Add Row	Clicking the Add Row button creates a new row in the violations data grid allowing the user to complete the information about the actions taken.			
	Type	Command Button		
	Hot Key	None		
Violations - Remove Row	Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.			
	Type	Command Button		
	Hot Key	None		

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="2">Violations</td><td colspan="4">The violations data grid is used to record any violations that are found during the investigation activity. Violations entered here are specific to the activity and the activity is specific to the investigation.</td></tr>
<tr><td>Type</td><td colspan="3">Data Grid</td></tr>
<tr><td rowspan="5">Violation Date</td><td colspan="4">This date is represents the date the violation was found.</td></tr>
<tr><td>Type</td><td colspan="3">Date Picker</td></tr>
<tr><td>Required</td><td colspan="3">Yes</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvActViolation.ViolationDt</td></tr>
<tr><td rowspan="5">Violation Type</td><td colspan="4">The type of violation that was found during the activity. Used for TIP Reporting (Reason for Sanction).</td></tr>
<tr><td>Type</td><td colspan="3">List Box</td></tr>
<tr><td>Required</td><td colspan="3">Yes</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvActViolation.VVio_ID</td></tr>
<tr><td>Code ID</td><td colspan="3">Vendor Violation table lookup</td></tr>
<tr><td rowspan="7">Sanction Points</td><td colspan="4">These sanction points are associated with the violation that was found. Sanction points are auto-assigned based on the Violation Type selected.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">NA</td></tr>
<tr><td>Length</td><td colspan="3">3</td></tr>
<tr><td>Validation</td><td colspan="3">NA</td></tr>
<tr><td>Display Only</td><td>Yes</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvActViolation.SanctionPts</td></tr>
<tr><td rowspan="5">Sanction Points End Date</td><td colspan="4">This date represents the date that the sanction points are removed from the vendor violation summary.</td></tr>
<tr><td>Type</td><td colspan="3">Date Picker</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvActViolation.PtsEndDt</td></tr>
</table>

Control	Description			
Details	Details (notes or comments) that are associated with the violation that was found.			
	Type	Text Box		
	Required	No		
	Length	80		
	Validation	NA		
	Display Only	No	**Calculated**	Yes
	DB Column	VendorInvActViolation.Details		
Actions - Add Row	Clicking the Add Row button creates a new row in the actions data grid allowing the user to complete the information about the actions taken.			
	Type	Command Button		
	Hot Key	None		
Actions - Remove Row	Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.			
	Type	Command Button		
	Hot Key	None		
Actions	The Actions data grid is used to record any actions that are found during the investigation activity. Actions entered here are specific to the activity and the activity is specific to the investigation.			
	Type	Data Grid		
Start Date	The start date of the selected action.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestAction.StartDt		
Expected End Date	Date the action should be completed by.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestAction.ExpectedEndDt		

Control	Description			
Actual End Date	Date the action was completed by.			
	Type	Date Picker		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestAction.ActualEndDt		
Type	The type of action that was taken against the vendor.			
	Type	List Box		
	Required	Yes		
	DB Column	VendorInvestAction.ActionCd		
	Code ID	Vendor Action Code This code element is editable but these installed values are non-editable: Sanction		
Referred to FS	The date a vendor was referred to the Food Stamp Program.			
	Type	Date Picker		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestAction.RefToFSDt		
Alert Me	The presence of a date in the Referred to FS date places a check in the Alert Me box.			
	Type	Check Box		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestAction.TicklerIn		
Observations During Compliance Buy - Add Row	Clicking the Add Row button creates a new row in the Observations During Compliance Buy data grid allowing the user to complete the information found during the compliance buy activities.			
	Type	Command Button		
	Hot Key	None		
Observations During Compliance Buy - Remove Row	Clicking the Remove Row command button removes the selected row from the Observations During Compliance Buy data grid and marks the currently selected row (arrow pointer) as deleted in the database.			
	Type	Command Button		
	Hot Key	None		

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="3">Observations During Compliance Buy - Get Data</td><td colspan="4">Clicking the Get Data command button retrieves information regarding the observed transactions during the Compliance Buy. It is only available if at least one Food Benefit # is in the Observations During Compliance Buy data grid.</td></tr>
<tr><td>Type</td><td colspan="3">Command Button</td></tr>
<tr><td>Hot Key</td><td colspan="3">Alt + I</td></tr>
<tr><td rowspan="2">Observations During Compliance Buy</td><td colspan="4">The Observations During Compliance Buy data grid is to record any transactions that occurred during the buy activity. It also displays the actual redemption amount and expected redemption amount of the transactions.</td></tr>
<tr><td>Type</td><td colspan="3">Data Grid</td></tr>
<tr><td rowspan="7">Food Benefit #</td><td colspan="4">The food instrument number or the purchase transaction number (EBT) used during the compliance buy.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Length</td><td colspan="3">10</td></tr>
<tr><td>Validation</td><td colspan="3">Numeric</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestFI.TransactionNr</td></tr>
<tr><td rowspan="5">Redemption Date</td><td colspan="4">This is the date that the compliance buy was conducted and the FI or EBT card was used.</td></tr>
<tr><td>Type</td><td colspan="3">Date Picker</td></tr>
<tr><td>Required</td><td colspan="3">Yes</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>NO</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestFI.RedemptionDt</td></tr>
<tr><td rowspan="7">Expected Redemption Amt</td><td colspan="4">The expected redemption (dollar amount) of the compliance buy transaction.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Length</td><td colspan="3">Decimal 9,2</td></tr>
<tr><td>Validation</td><td colspan="3">Numeric, Mask of $9,999.99</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestFI.ExpectedRedemptionAmt</td></tr>
</table>

Control	Description			
Actual Redemption Amt	The actual redemption (dollar amount) of the compliance buy transaction.			
	Type	Text Box		
	Required	No		
	Length	NA		
	Validation	NA		
	Display Only	Yes	**Calculated**	No
	DB Column	VendorInvestFI.ActualRedemptionAmt		
Outcome	List box containing activity outcome codes.			
	Type	List Box		
	Required	No		
	DB Column	VendorInvestFI.OutcomeCd		
	Code ID	Inv Act Outcome This code element is non-editable. The installed values are: Pass Fail		
Comments	This text box contains comments regarding the particular transaction.			
	Type	Text Box		
	Required	Yes		
	Length	NA		
	Validation	NA		
	Display Only	Yes	**Calculated**	Yes
	DB Column	VendorInvestFI.Comments		
Close	Clicking the Close button closes the pop-up window.			
	Type	Command Button		
	Hot Key	Alt + C		

Business Rules
1. The Get Data command button is only available if at least one Food Benefit # is in the "Observations During Compliance Buy" data grid. 2. If Transaction Number entered is not found, display error. 3. New, Edit and Delete Buttons are enabled only if the Investigation Status is Ongoing. 4. Sanction points are auto-assigned based on the Violation Type selected. 5. The items in the checklist default to a value of unchecked. 6. The total sanction points assigned to a vendor is the combination of sanction points

Business Rules
assessed during Investigations as well as Feedback and Monitoring activities. 7. If the point threshold has been reached a detail line is added to the Violation Summary for the corresponding Vendor. 8. When the point threshold has been reached, an alert is set indicating that a sanction should be imposed against the vendor. 9. When the VendorInvestActivity is added, ActivityTypeCd is set to 'Compliance Buy." 10. The values for the checklist are assigned on the System Administration - List Management screen. The checklist should be created using positive definitions. Once values and definitions are assigned, it is recommended that the definitions not be modified. For example, if the checklist item "WIC Food List Available" (positive) is modified in System Administration to be "WIC Food List Not Available" (negative), the history of the record would be altered. If the record was retrieved after the modification in System Administration from a positive statement to a negative statement, the checklist would indicate that the WIC Food List was not available, when in fact they were posted when the compliance visit occurred.

Developer Notes
1. If the transaction involves an FI that has not been redeemed and the Get Data command button is selected, populate Actual Redemption Amt with 0. 2. When a date is entered into the Ref. To FS date place a check in the Alert Me indicator. The check must be removed by the user when the appropriate documentation is sent to Food Stamps. 3. Roll violations off of the violation summary when the Pts. End Date is past. 4. The items in the checklist are populated based on the code table values. 5. EBT-States - data regarding the compliance buy transaction is pulled from transaction tables. The redemption amount is retrieved using both the Food Benefit # (which is the card number) as well as the redemption date. The redemption amount is the total of all transactions that contain the entered card number and redemption date. 6. Non-EBT states - data regarding the compliance buy transaction is pulled from the FI tables. The redemption amount is retrieved using the Food Benefit # (which is the FI number). The redemption date for non-EBT states is for information only.

System Parameter	Purpose	Format
Vendor.ViolationPointThreshold	Determines the point threshold allowed for a vendor before a sanction should be imposed.	Integer

1.4.2 Appeal Log Pop-Up Window

The Appeal Log Pop-up Window is used to record any appeal events that occur. The pop-up window allows the user to record the date, appeal type, outcome, and any comments that they want to make about the appeal events. All appeals apply to the currently selected investigation record. This window is not available until a Reason for the Investigation and Appealed checkbox have been selected on the Investigation screen.

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="3">Add Row</td><td colspan="4">Clicking the Add Row button creates a new row in the data grid allowing the user to complete the information about the appeal event.</td></tr>
<tr><td>Type</td><td colspan="3">Command Button</td></tr>
<tr><td>Hot Key</td><td colspan="3">Alt + A</td></tr>
<tr><td rowspan="2">Appeal Events</td><td colspan="4">The Appeal Events data grid is used to record any appeal events that occur.</td></tr>
<tr><td>Type</td><td colspan="3">Data Grid</td></tr>
<tr><td rowspan="5">Appeal Date</td><td colspan="4">The date of the appeal event. Defaults to current date.</td></tr>
<tr><td>Type</td><td colspan="3">Date Picker</td></tr>
<tr><td>Date Editable</td><td colspan="3">Yes</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestAppeal.AppealDt</td></tr>
<tr><td rowspan="5">Type</td><td colspan="4">List box that contains all available appeal types.</td></tr>
<tr><td>Type</td><td colspan="3">List Box</td></tr>
<tr><td>Required</td><td colspan="3">Yes</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestAppeal.TypeCd</td></tr>
<tr><td>Code ID</td><td colspan="3">Appeal Type
This code element is editable but these installed values are non-editable:
Administrative</td></tr>
</table>

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="5">Outcome</td><td colspan="4">List box that contains all available appeal outcomes. This field is used in TIP reporting.</td></tr>
<tr><td>Type</td><td colspan="3">List Box</td></tr>
<tr><td>Required</td><td colspan="3">Yes</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestAppeal.OutcomeCd</td></tr>
<tr><td>Code ID</td><td colspan="3">Appeal Outcome
This code element is non-editable.
The installed values are:
Pending
Upheld
Overturned
Modified
Judicial</td></tr>
<tr><td rowspan="7">Comment</td><td colspan="4">A comment related to the appeal event.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Length</td><td colspan="3">40</td></tr>
<tr><td>Validation</td><td colspan="3">NA</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestAppeal.Comment</td></tr>
<tr><td rowspan="3">Close</td><td colspan="4">Clicking the Close button closes the pop-up window.</td></tr>
<tr><td>Type</td><td colspan="3">Command Button</td></tr>
<tr><td>Hot Key</td><td colspan="3">Alt + C</td></tr>
<tr><td rowspan="7"><Last Modified By User and Date></td><td colspan="4">In the lower right-hand corner, the user and the date of the last update of the record are displayed.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Length</td><td colspan="3">NA</td></tr>
<tr><td>Validation</td><td colspan="3">Mask of ‘firstname lastname mm/dd/yyyy’</td></tr>
<tr><td>Display Only</td><td>Yes</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestAppeal.ModifyStfpID +
VendorInvestAppeal.ModifyDt</td></tr>
</table>

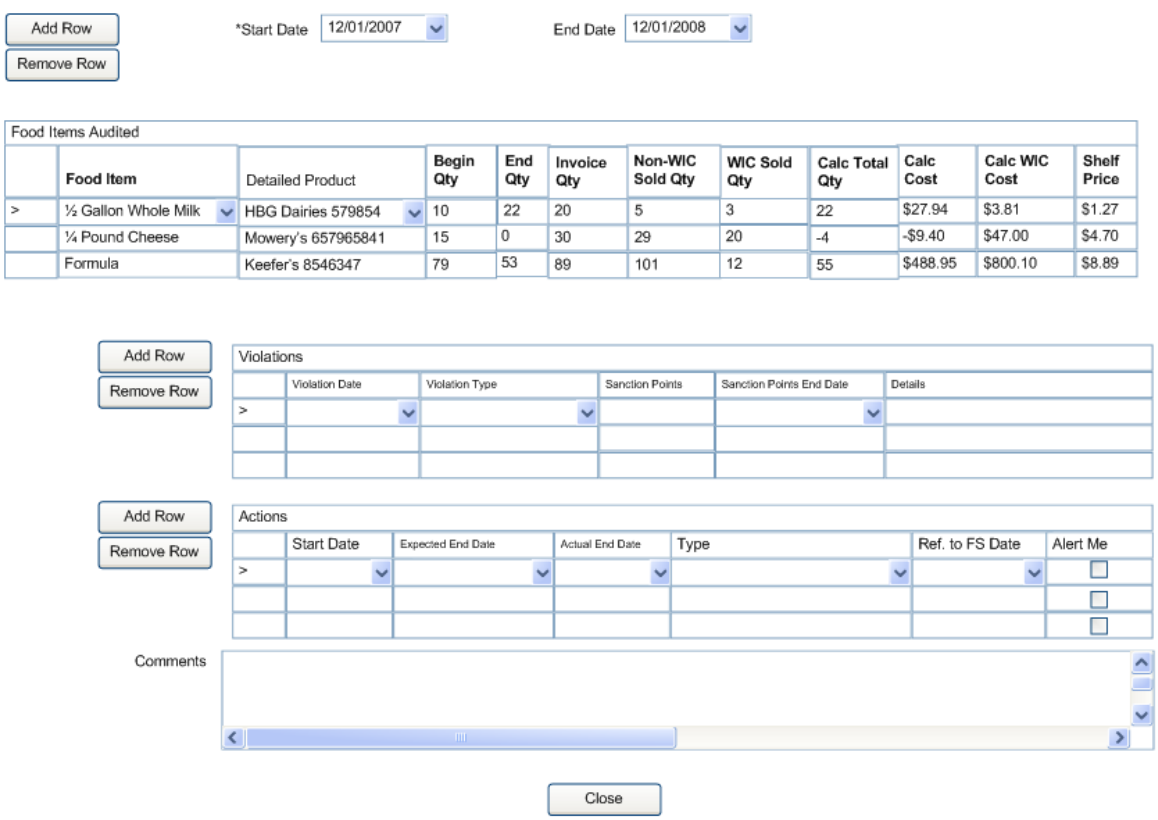
Business Rules
1. When the Add Row button is pressed, the Appeal Date is set to current date by default but can be updated. 2. Duplicate Appeal Dates are allowed. No unique identification is required as user can

Business Rules
see all entries.

Developer Notes
1. The appeals records are stored in the same table as those appeal records found in the Vendor Management Status screen.

1.4.3 Inventory Audit Activity Pop-Up Window

The Inventory Audit Activity Pop-up Window is used to record activities that occurred during an inventory audit investigation. The inventory audit allows the investigator to determine what quantities of WIC foods are on hand at the vendor as well as their associated costs and prices. The violations data grid allows any violations found during the inventory audit to be recorded. The actions data grid allows any subsequent actions to be recorded as well.



Control	Description			
Start Date	This is the start date of the inventory audit.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestActivity.AuditStartDt		
End Date	This is the end date of the inventory audit.			
	Type	Date Picker		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestActivity.AuditEndDt		
Food Items Audited - Add Row	Clicking the Add Row button creates a new row in the food items data grid allowing the user to complete the information found during the inventory audit.			
	Type	Command Button		
	Hot Key	None		
Food Items Audited - Remove Row	Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.			
	Type	Command Button		
	Hot Key	None		
Food Items Audited	The Food Items data grid is used to record food items that are audited during the inventory audit.			
	Type	Data Grid		
Food Items Audited - Food Item	The name of the food item that is being audited (1/2 gallon whole milk, formula).			
	Type	List Box		
	Required	Yes		
	DB Column	VendorInvestFood.PCon_ID		
	Code ID	ProdContainer table lookup		
Food Items Audited - Detailed Product	The detailed description of the food item that is being audited.			
	Type	List Box		
	Required	Yes		
	DB Column	VendorInvestFood.UPC		
	Code ID	DetailProduct table lookup		

Control	Description			
Food Items Audited - Begin Qty	The quantity on hand of the selected WIC food at the beginning of the inventory audit. This quantity is a manual, physical count of the inventory.			
	Type	Text Box		
	Required	No		
	Length	Integer 4		
	Validation	Numeric		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestFood.BeginQty		
Food Items Audited - End Qty	The quantity on hand of the selected WIC food at the end of the inventory audit. This quantity is a manual, physical count of the inventory.			
	Type	Text Box		
	Required	No		
	Length	Integer 4		
	Validation	Numeric		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestFood.EndQty		
Food Items Audited - Invoice Qty	The quantity of the selected WIC food on invoices for the timeframe of the audit.			
	Type	Text Box		
	Required	No		
	Length	Integer 4		
	Validation	Numeric		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestFood.InvoiceQty		
Food Items Audited - Non-WIC Sold Qty	The quantity of the selected WIC food that was sold to non-WIC customers during the timeframe of the audit.			
	Type	Text Box		
	Required	No		
	Length	Integer 4		
	Validation	Numeric		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestFood.SoldQty		

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="7">Food Items Audited - WIC Sold Qty</td><td colspan="4">The quantity of the selected WIC food that was sold to WIC participants during the timeframe of the audit.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Length</td><td colspan="3">Integer 4</td></tr>
<tr><td>Validation</td><td colspan="3">Numeric</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestFood.WICSoldQty</td></tr>
<tr><td rowspan="7">Food Items Audited - Calc Total Qty</td><td colspan="4">Represents the calculated quantity of the selected WIC food that should be on hand at the end of the audit.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Length</td><td colspan="3">4</td></tr>
<tr><td>Validation</td><td colspan="3">Mask of -9,999</td></tr>
<tr><td>Display Only</td><td>Yes</td><td>Calculated</td><td>Yes</td></tr>
<tr><td>DB Column</td><td colspan="3">NA</td></tr>
<tr><td rowspan="7">Food Items Audited - Calc Cost</td><td colspan="4">Represents the Calculated Cost of the selected WIC food.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Length</td><td colspan="3">NA</td></tr>
<tr><td>Validation</td><td colspan="3">Mask of -$9,999.99</td></tr>
<tr><td>Display Only</td><td>Yes</td><td>Calculated</td><td>Yes</td></tr>
<tr><td>DB Column</td><td colspan="3">NA</td></tr>
<tr><td rowspan="7">Food Items Audited - Calc WIC Cost</td><td colspan="4">Represents the Calculated WIC Cost of the selected WIC food.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Length</td><td colspan="3">NA</td></tr>
<tr><td>Validation</td><td colspan="3">NA</td></tr>
<tr><td>Display Only</td><td>Yes</td><td>Calculated</td><td>Yes</td></tr>
<tr><td>DB Column</td><td colspan="3">NA</td></tr>
</table>

Control	Description			
Food Items Audited - Shelf Price	Represents the shelf price of the selected WIC food.			
	Type	Text Box		
	Required	No		
	Length	Decimal 9,2		
	Validation	Numeric		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestFood.ShelfPriceAmt		
Violations - Add Row	Clicking the Add Row button creates a new row in the violations data grid allowing the user to complete the information found during the inventory audit.			
	Type	Command Button		
	Hot Key	None		
Violations - Remove Row	Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.			
	Type	Command Button		
	Hot Key	None		
Violations	The violations data grid is used to record any violations found during the inventory audit.			
	Type	Data Grid		
Violations - Violation Date	This date is the date that the violation was assessed to the vendor based on the inventory audit.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvActViolation.ViolationDt		
Violations - Violation Type	The Violation Type describes the behavior that is considered a violation.			
	Type	List Box		
	Required	Yes		
	DB Column	VendorInvActViolation.VVio_ID		
	Code ID	VendorViolation table lookup		

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="7">Violations - Sanction Points</td><td colspan="4">Represents the number of sanction points assigned to the violation type.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">Yes, when a violation has been added.</td></tr>
<tr><td>Length</td><td colspan="3">3</td></tr>
<tr><td>Validation</td><td colspan="3">NA</td></tr>
<tr><td>Display Only</td><td>Yes</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvActViolation.SanctionPts</td></tr>
<tr><td rowspan="5">Violations - Sanction Points End Date</td><td colspan="4">This date represents the date that the sanction points are removed from the vendor violation summary.</td></tr>
<tr><td>Type</td><td colspan="3">Date Picker</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvActViolation.PtsEndDt</td></tr>
<tr><td rowspan="7">Violations - Details</td><td colspan="4">The details are additional brief comments about the violation itself.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Length</td><td colspan="3">80</td></tr>
<tr><td>Validation</td><td colspan="3">NA</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvActViolation.Details</td></tr>
<tr><td rowspan="3">Actions - Add Row</td><td colspan="4">Clicking the Add Row command button creates a new row in the data grid allowing the user to complete the information about the actions taken.</td></tr>
<tr><td>Type</td><td colspan="3">Command Button</td></tr>
<tr><td>Hot Key</td><td colspan="3">None</td></tr>
<tr><td rowspan="3">Actions - Remove Row</td><td colspan="4">Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.</td></tr>
<tr><td>Type</td><td colspan="3">Command Button</td></tr>
<tr><td>Hot Key</td><td colspan="3">None</td></tr>
<tr><td rowspan="2">Actions</td><td colspan="4">The actions data grid is used to record any actions taken based on the inventory audit.</td></tr>
<tr><td>Type</td><td colspan="3">Data Grid</td></tr>
</table>

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="5">Actions - Start Date</td><td colspan="4">Date the action was taken.</td></tr>
<tr><td>Type</td><td colspan="3">Date Picker</td></tr>
<tr><td>Required</td><td colspan="3">Yes</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestAction.StartDt</td></tr>
<tr><td rowspan="5">Actions - Expected End Date</td><td colspan="4">Date the action is expected to end.</td></tr>
<tr><td>Type</td><td colspan="3">Date Picker</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestAction.ExpectedEndDt</td></tr>
<tr><td rowspan="5">Actions - Actual End Date</td><td colspan="4">Date the action was completed.</td></tr>
<tr><td>Type</td><td colspan="3">Date Picker</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestAction.ActualEndDt</td></tr>
<tr><td rowspan="5">Actions - Type</td><td colspan="4">List box containing actions taken in response to the investigation.</td></tr>
<tr><td>Type</td><td colspan="3">List Box</td></tr>
<tr><td>Required</td><td colspan="3">Yes</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestAction.ActionCd</td></tr>
<tr><td>Code ID</td><td colspan="3">Vendor Action Code
This code element is editable but these installed values are non-editable:
Sanction</td></tr>
<tr><td rowspan="5">Actions - Ref. To FS Date</td><td colspan="4">This date represents when the vendor has been referred to Food Stamps.</td></tr>
<tr><td>Type</td><td colspan="3">Date Picker</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestAction.RefFSDt</td></tr>
</table>

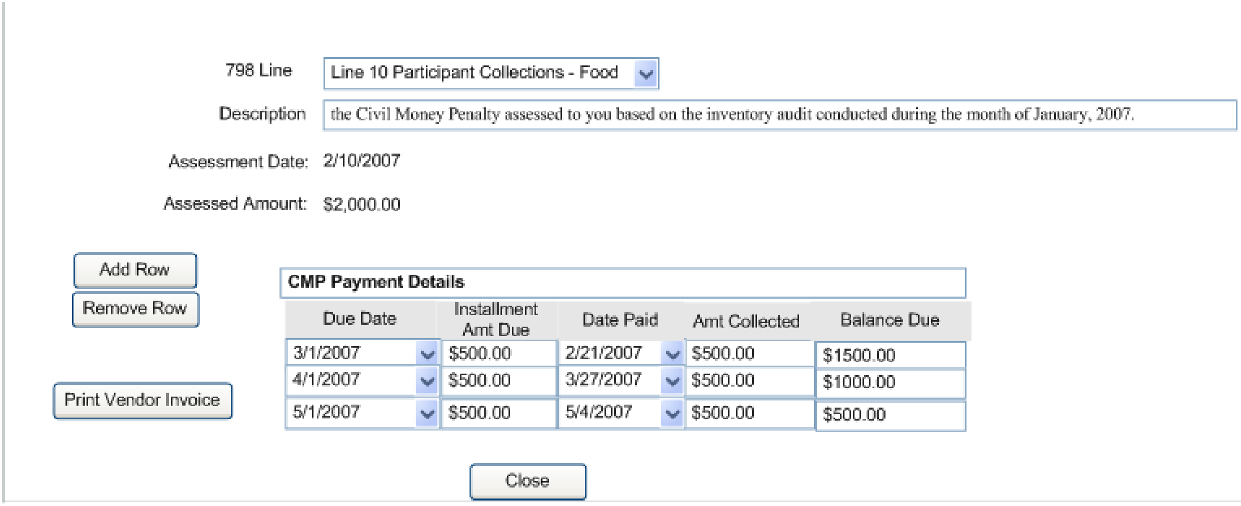
<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="4">Actions - Alert Me</td><td colspan="4">The presence of a date in the Referred to FS date places a check in the Alert Me box.</td></tr>
<tr><td>Type</td><td colspan="3">Check Box</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestAction.TicklerIn</td></tr>
<tr><td rowspan="5">Comments</td><td colspan="4">Comments display box shows detailed comments regarding the displayed inventory audit.</td></tr>
<tr><td>Type</td><td colspan="3">Multi Line Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Display Only</td><td>No</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestAction.Comments</td></tr>
<tr><td rowspan="3">Close</td><td colspan="4">Clicking the Close button causes the pop-up window to close and the user is returned to the calling screen.</td></tr>
<tr><td>Type</td><td colspan="3">Command Button</td></tr>
<tr><td>Hot Key</td><td colspan="3">Alt + C</td></tr>
</table>

Business Rules
1. Display an alert to sanction the vendor when the point threshold has been reached. 2. If the point threshold has been reached a detail line is added to the Violation Summary for the corresponding Vendor. 3. Sanction Points are auto-assigned based on the Violation Type selected.

Developer Notes
1. When a date is entered into the Ref. To FS date place a check in the Alert Me indicator. The check must be removed by the user when the appropriate documentation is sent to Food Stamps. 2. Roll violations off of the Violation Summary when their Pts. End Date is past. 3. Display a warning if the store charged for more food than they had in inventory. 4. Calc Total Qty = (Begin Qty + Invoice Qty) – (Non-WIC Sold Qty + WIC Sold Qty). 5. Calc Cost" = Calc Total Qty X Shelf Price. 6. Calc WIC Cost = WIC Sold Qty X Shelf Price. 7. When the VendorInvestActivity is added, ActivityTypeCd is set to "Audit."

1.4.4 CMP Details Pop-Up Window

The screen is used to track vendor collections for Civil Money Penalties (CMP) and create an invoice for the CMP.



798 Line: Line 10 Participant Collections - Food

Description: the Civil Money Penalty assessed to you based on the inventory audit conducted during the month of January, 2007.

Assessment Date: 2/10/2007

Assessed Amount: $2,000.00

Add Row

Remove Row

Print Vendor Invoice

CMP Payment Details

Due Date	Installment Amt Due	Date Paid	Amt Collected	Balance Due
3/1/2007	$500.00	2/21/2007	$500.00	$1500.00
4/1/2007	$500.00	3/27/2007	$500.00	$1000.00
5/1/2007	$500.00	5/4/2007	$500.00	$500.00

Close

Control	Description			
798 Line	This contains the 798 income lines that this record can be reported on.			
	Type	List Box		
	Required	Yes		
	DB Column	VendorInvestigation.CMP798LineCd		
	Code ID	798VendorLine This code element is non-editable. The installed values are: Line 9 Postpymt Vendor Collections - Food Line 23 Postpymt Vendor Collections - NSA		
Description	This is the description that is used in the body of the vendor invoice.			
	Type	Text Box		
	Required	Yes		
	Length	300		
	Validation	NA		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestigation.CMPDescription		
Assessment Date	This is the date of the CMP assessment.			
	Type	Text Box		
	Required	NA		
	Length	NA		
	Validation	Mask of mm/dd/yyyy		
	Display Only	Yes	**Calculated**	No
	DB Column	VendorInvestigation.CMPAssessmentDt		
Assessed Amount	This is the total amount that the vendor has been assessed.			
	Type	Text Box		
	Required	NA		
	Length	NA		
	Validation	Mask of $9,999.99		
	Display Only	Yes	**Calculated**	No
	DB Column	VendorInvestigation.CMPAssessmentAmt		

Control	Description			
Add Row	Clicking the Add Row button creates a new row in the CMP Payment Details data grid allowing the user to complete the information pertaining to the CMP.			
	Type	Command Button		
	Hot Key	Alt + A		
Remove Row	Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.			
	Type	Command Button		
	Hot Key	Alt + R		
CMP Payment Details	The CMP Payments data grid is used to maintain details of the CMP.			
	Type	Data Grid		
CMP Payment Details - Due Date	This is the date the payment is due.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	CivilMoneyPenalty.DueDt		
CMP Payment Details - Installment Amt Due	This is the amount of the installment payment that is due.			
	Type	Text Box		
	Required	Yes		
	Length	Decimal 7,2		
	Validation	Numeric, Mask of $9,999.99		
	Display Only	No	**Calculated**	No
	DB Column	CivilMoneyPenalty.DueAmt		
CMP Payment Details - Date Paid	This is the date that the payment was received. Only when the Date Paid and Amt Collected are entered is it counted against the 798.			
	Type	Date Picker		
	Required	Yes, when the Payment Received Amount is recorded		
	Display Only	No	**Calculated**	No
	DB Column	CivilMoneyPenalty.PaidDt		

Control	Description			
CMP Payment Details - Amt Collected	This is the amount of payment received.			
	Type	Text Box		
	Required	Yes, when the Payment Received Date is recorded		
	Length	Decimal 7,2		
	Validation	Numeric, Mask of $9,999.99		
	Display Only	No	**Calculated**	No
	DB Column	CivilMoneyPenalty.PaidAmt		
CMP Payments - Balance Due	This is the amount of the CMP that is still outstanding. It is the total assessment minus all of the payments received.			
	Type	Text Box		
	Required	Yes, when the Payment Received Date is recorded.		
	Length	Decimal 7,2		
	Validation	Numeric, Mask of $9,999.99		
	Display Only	No	**Calculated**	Yes
	DB Column	NA		
Print Vendor Invoice	Clicking the Print Vendor Invoice button creates the Vendor Invoice for the displayed CMP. It is only enabled if there is a CMP record with a balance due > 0.			
	Type	Command Button		
	Hot Key	Alt + P		
Close	Clicking the Close button causes the pop-up window to close and the user is returned to the calling screen.			
	Type	Command Button		
	Hot Key	Alt + C		

Business Rules
1. This data is aggregated to the 798 line selected based on the Date Paid and Amt Collected. 2. The Installment Term is determined by the Due Dates in the grid. For the screen shot example, this vendor would have an Installment Term of 3 months. 3. The record cannot be deleted once a payment has been made.

Developer Notes
1. Display an alert if due date is more than 30 days in the past and payment received is null or received amount is less than the expected payment amount.

Developer Notes
2. "CMP Payments - Balance Due" is the total of all CMP Payment records (Amt Collected) subtracted from the Assessed Amount.

1.4.5 Print Vendor Invoice Output

1.4.5.1 Language: English

The Vendor Invoice is printed in English only.

1.4.5.2 Vendor Invoice Mockup

WIC Program

Vendor Name
3889 Third Street
Denver, CO 19983

February 12, 2007

Dear Ms. Smith,

The following is an invoice for the amount of $2,000.00 for the Civil Money Penalty assessed to you based on the inventory audit conducted during the month of January, 2007.

Please remit payment as soon as possible to:

Colorado Department of Public Health & Environment
4300 Cherry Creek Drive South
Denver, CO 80246

If you have any questions, please call (123) 234-3456.

Sincerely,
Colorado Department of Public Health & Environment

Business Rules
1. The Vendor Mailing Address must be positioned for the window in a windowed envelope.

Developer Notes
1.

1.5 Risks

The risk screen is used to assign risk codes to a vendor. All risks are assigned manually and can be entered at any time. A high-risk vendor means a vendor has been identified as having a high probability of committing a vendor violation through application of the criteria by the federal government and any additional criteria established by the State agency. The presence of a risk is used by the vendor coordinator as the impetus for an investigation.

> Vendor Oversight > Risks

<Vendor Header (See VM overview)>

Add Row

Remove Row

Risks

	Effective Date	Risk End Date	Risk Type	Investigation Date	Investigation Status	Investigation Closed Date
>	12/10/2005	03/01/2006	C – Unusually Hig	01/10/2005	Ongoing	
	12/10/2005	03/01/2006	B – Large % of FI	01/10/2005	Ongoing	

Control	Description			
Add Row	Clicking the Add Row button creates a new row in the data grid allowing the user to complete the information about the assigned risk.			
	Type	Command Button		
	Hot Key	Alt + A		
Remove Row	Clicking the Remove Row command button removes the selected row from the data grid and marks the currently selected row (arrow pointer) as deleted in the database.			
	Type	Command Button		
	Hot Key	Alt + R		
Risks	The risks data grid is used to record any risks assigned to the vendor.			
	Type	Data Grid		
Effective Date	Date the assigned risks is effective.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	VendorRisk.EffectiveDt		
Risk End Date	Date the assigned risks ended or will end.			
	Type	Date Picker		
	Required	Yes		
	Display Only	No	**Calculated**	No
	DB Column	VendorRisk.EndDt		
Risk Type	A list box containing all possible risks that can be assigned to a vendor. This value is used on the TIP Report.			
	Type	List Box		
	Required	Yes		
	DB Column	VendorRisk.VRT_ID		
	Code ID	VendorRisk table lookup		
Investigation Date	The date of the investigation. The user selects the date of the investigation that is looking into the risk.			
	Type	Date Picker		
	Required	No		
	Display Only	No	**Calculated**	No
	DB Column	VendorInvestigation.RecordedDt		

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="7">Investigation Status</td><td colspan="4">A read-only field that displays the status of the selected investigation.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">NA</td></tr>
<tr><td>Length</td><td colspan="3">NA</td></tr>
<tr><td>Validation</td><td colspan="3">NA</td></tr>
<tr><td>Display Only</td><td>Yes</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestigation.InvestigativeStatusCd</td></tr>
<tr><td rowspan="7">Investigation Closed Date</td><td colspan="4">A read-only field that displays the date the investigation was closed.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Length</td><td colspan="3">NA</td></tr>
<tr><td>Validation</td><td colspan="3">Mask of mm/dd/yyyy</td></tr>
<tr><td>Display Only</td><td>Yes</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">VendorInvestigation.ClosedDt</td></tr>
</table>

Business Rules
1. Risk End Date must be equal to or greater than the Effective Date.

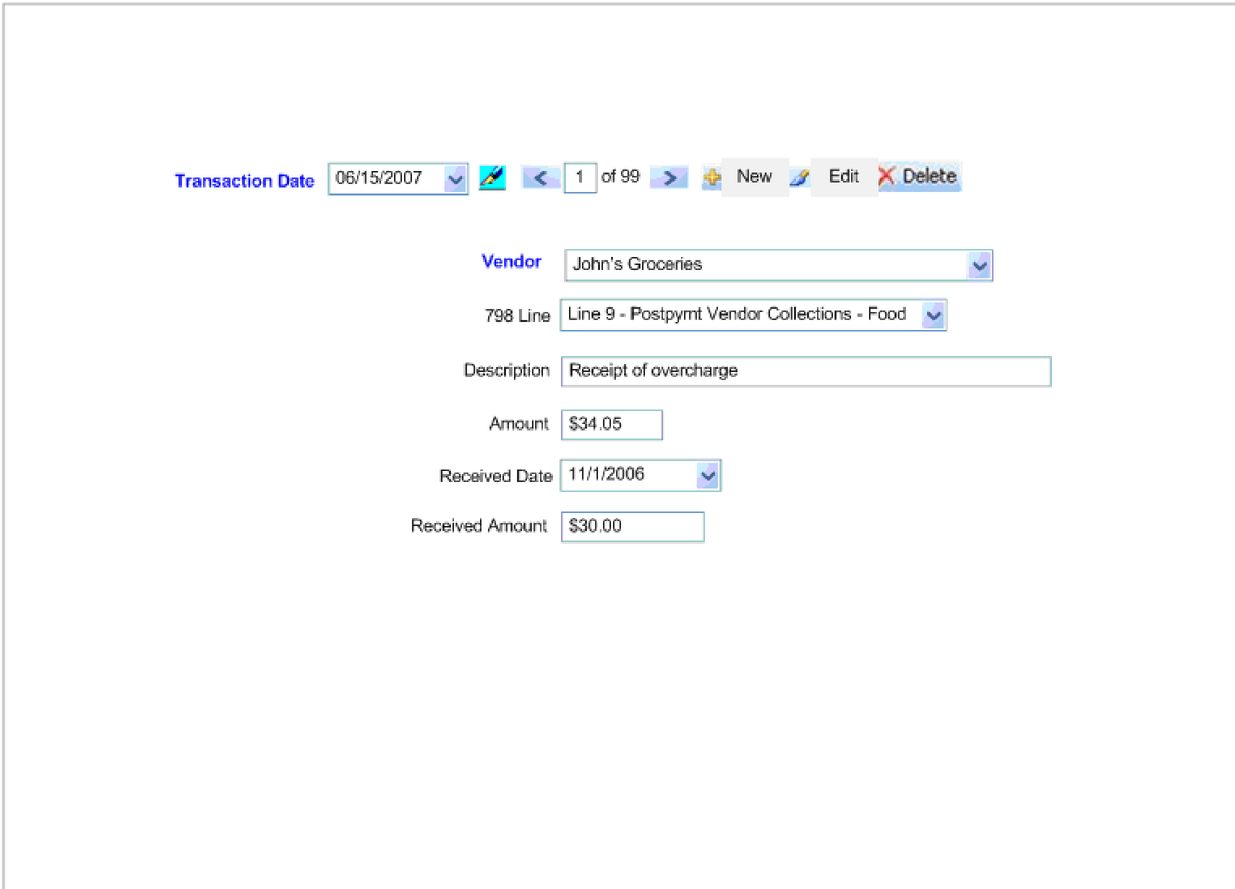
Developer Notes
1. Once the Investigation Date is linked to the risk, the risk will display on the Associated Risk grid on the Investigation screen. 2. The Investigation Date is populated with the VendorInvestigation.RecordedDts that are associated with the Vendor.

1.6 Collections

This screen is used to track vendor collection income transactions that will be reported on the 798. It allows the user to stipulate which line the income should impact on the 798.

> Vendor Oversight > Collections

<Vendor Header (See VM overview)>



Control	Description	
Transaction Date	This is the record selector for the tracking income records. It contains a date which controls which fiscal year 798 the record impacts. The drop-down and spin control allow selection of income tracking records.	
	Type	Record Selector (Non-Date)
	Contents	Dates
	DB Column	798IncomeTracking.TransactionDt
New	The New command button is used to create an income tracking record.	
	Type	Command Button
	Hot Key	Alt + N
Edit	The Edit command button is used to update an income tracking record.	
	Type	Command Button
	Hot Key	Alt + T
Delete	The Delete command button is used to delete an income tracking record.	
	Type	Command Button
	Hot Key	Alt + D
Vendor	The vendor that is providing the 798 Income.	
	Type	List Box
	Required	Yes
	DB Column	798IncomeTracking.Vend_ID
	Code ID	798IncomeTracking table lookup
798 Line	This contains the 798 income lines that this record can be reported on.	
	Type	List Box
	Required	Yes
	DB Column	798IncomeTracking.798LineCd
	Code ID	798VendorLine This code element is non-editable. The installed values are: Line 9 - Postpymt Vendor Collections - Food Line 23 - Postpymt Vendor Collections - NSA

Control	Description			
Description	This is the description of the vendor income tracking that is being recorded.			
	Type	Text Box		
	Required	Yes		
	Length	50		
	Validation	NA		
	Display Only	No	**Calculated**	No
	DB Column	798IncomeTracking.Description		
Amount	This is the amount of the income that is being recorded.			
	Type	Text Box		
	Required	Yes		
	Length	Decimal 11,2		
	Validation	Numeric, Mask of $9,999.99		
	Display Only	No	**Calculated**	No
	DB Column	798IncomeTracking.Amount		
Received Date	This is the date that the payment or income was received. This gives this screen the ability to track potential income. Only when the Received Date and Received Amount are entered is it counted against the 798.			
	Type	Date Picker		
	Required	Yes, when the Received Amount is recorded		
	Display Only	No	**Calculated**	No
	DB Column	798IncomeTracking.ReceivedDt		
Received Amount	This is the amount received.			
	Type	Text Box		
	Required	Yes, when the Received Date is recorded		
	Length	Decimal 11,2		
	Validation	Numeric, Mask of $9,999.99		
	Display Only	No	**Calculated**	No
	DB Column	798IncomeTracking.ReceivedAmount		

<table>
<tr><th>Control</th><th colspan="4">Description</th></tr>
<tr><td rowspan="7"><Last Modified By User and Date></td><td colspan="4">In the lower right-hand corner, the user and the date of the last update of the vendor collection record are displayed.</td></tr>
<tr><td>Type</td><td colspan="3">Text Box</td></tr>
<tr><td>Required</td><td colspan="3">No</td></tr>
<tr><td>Length</td><td colspan="3">NA</td></tr>
<tr><td>Validation</td><td colspan="3">Mask of 'firstname lastname mm/dd/yyyy'</td></tr>
<tr><td>Display Only</td><td>Yes</td><td>Calculated</td><td>No</td></tr>
<tr><td>DB Column</td><td colspan="3">798IncomeTracking.ModifyStfpID +
798IncomeTracking.ModifyDt</td></tr>
</table>

Business Rules
1. Dates in the Transaction Date list box are sorted most recent first.

Developer Notes
1. The data is aggregated to the 798 based on the Received Date and Received Amount. 2. This screen is also in the Finance area of the system (798 Income Tracking). However, the choices for the 798 Line are different.